

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant(s) : Holger Bock and Thomas Lindhorst

Serial No. : 09/914,052

For : OLIGOMERS SUBSTITUTED BY PHOSPHITE ESTER,  
PHOSPHONIC ACID OR CARBABORANE  
FUNCTIONS AND THE CORRESPONDING PNA  
MONOMERS

Filed :

Int'l Appln. No. : PCT/EP00/01852

Int'l Filing Date : 03 March 2000 (03.03.00)

Priority Date : 03 March 1999 (03.03.99)

Examiner : Not Yet Assigned

Art Unit : Not Yet Assigned

745 Fifth Avenue  
New York, NY 10151

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS**

Assistant Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

11/27/2001 UEDUWJE 00000086 09914052

01 FC:254

65.00 OP

In response to the Notification of Missing Requirements mailed September 27, 2001 for the above referenced patent application, Applicants enclose the following:

- a) a copy of the Notification of Missing Requirements;
- b) a Verified Statement Claiming Small Entity Status;
- c) a fully executed declaration for this application;

- d) an assignment, with cover sheet, for this application;
- e) a Second Preliminary Amendment
- f) an English translation of the International Preliminary Examination Report for International Application No. PCT/EP00/01852;
- g) a Change of Correspondence Address for this application; and
- h) a check in the amount of \$105 which includes the surcharge for late filing of the declaration by a large entity (\$65) and the fee for the recordation of the assignment document (\$40).

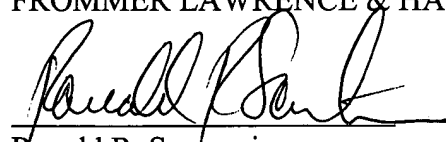
Applicant notes the additional requests made in the Notice of Missing Requirements. As for the missing Sequence Listing, this application does not contain a Sequence Listing.


As for the additional fees required, initially the Applicants are entitled to small entity status, a statement verifying this is enclosed. Also enclosed is a Second Preliminary Amendment which eliminates the multiple dependent claim and reduces the total number of claims to ten.

The Commissioner is authorized to charge any additional fees that may be required to Deposit Account No. 50-0320.

Respectfully submitted,  
FROMMER LAWRENCE & HAUG LLP

By:

  
Ronald R. Santucci  
Reg. No. 28,988  
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|  |                       |                      |
|--|-----------------------|----------------------|
|  <small>Contributor For Patent, See PCT, United States Patent and Trademark Office, Washington, D.C. 20231, www.uspto.gov</small> |                       |                      |
| U.S. APPLICATION NUMBER NO.  | FIRST NAMED APPLICANT | ATTY. DOCKET NO.     |
| 09/914,052   | HOLGER BOCK           | 2727-154 930008-2006 |

Ronald R. Santucci  
 Pitney, Hardin, Kipp & Szuch  
 711 Third Avenue  
 20th Floor  
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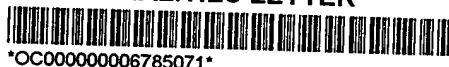
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PITNEY HARDIN KIPP &amp; SZUCH LLP.

|                               |               |
|-------------------------------|---------------|
| INTERNATIONAL APPLICATION NO. |               |
| PCT/EP00/01852                |               |
| I.A. FILING DATE              | PRIORITY DATE |
| 03/03/2000                    | 03/03/1999    |

CONFIRMATION NO. 8509

371 FORMALITIES LETTER



Date Mailed: 09/27/2001

### NOTIFICATION OF MISSING REQUIREMENTS UNDER 35 U.S.C. 371 IN THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US)

The following items have been submitted by the applicant or the IB to the United States Patent and Trademark Office as an Elected Office (37 CFR 1.495):

- U.S. Basic National Fees
- Priority Document
- Copy of IPE Report
- Copy of references cited in ISR
- Copy of the International Application
- Copy of the International Search Report
- Oath or Declaration
- Preliminary Amendments

|                                  |                  |
|----------------------------------|------------------|
| DOCKETED FOR                     | 11-3-01 11-27-01 |
| REFERRED TO                      | RRS              |
| PITNEY, HARDIN, KIPP & SZUCH LLP |                  |
| 711 THIRD AVE., N.Y.C.           |                  |

The following items **MUST** be furnished within the period set forth below in order to complete the requirements for acceptance under 35 U.S.C. 371:

- Oath or declaration of the inventors, in compliance with 37 CFR 1.497(a) and (b), identifying the application by the International application number and international filing date. The current oath or declaration does not comply with 37 CFR 1.497(a) and (b) in that it:
  - is not executed in accordance with either 37 CFR 1.66 or 37 CFR 1.68.
- \$130 Surcharge for providing the oath or declaration later than the appropriate 30 months months from the priority date (37 CFR 1.492(e)) is required.
- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821-1.825 for the following reason(s):
  - This application does not contain a "Sequence Listing" as a separate part of the disclosure on

paper copy or compact disc, as required by 37 CFR 1.821(c).

- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 CFR 1.821(e).
- APPLICANT MUST PROVIDE:
  - An initial or substitute computer readable form (CRF) of the "Sequence Listing."
  - An initial or substitute paper copy or compact disc of the "Sequence Listing," as well as an amendment directing its entry into the specification.

- For questions regarding compliance to 37 CFR 1.821-1.825 requirements, please contact:
  - For Rules Interpretation, call (703) 308-4216
  - To Purchase PatentIn Software, call (703) 306-2600
  - For PatentIn Software Program Help, call (703) 306-4119 or e-mail at [patin21help@uspto.gov](mailto:patin21help@uspto.gov) or [patin3help@uspto.gov](mailto:patin3help@uspto.gov)

**ALL OF THE ITEMS SET FORTH ABOVE MUST BE SUBMITTED WITHIN TWO (2) MONTH FROM THE DATE OF THIS NOTICE OR BY 22 or 32 MONTHS (where 37 CFR 1.495 applies) FROM THE PRIORITY DATE FOR THE APPLICATION, WHICHEVER IS LATER. FAILURE TO PROPERLY RESPOND WILL RESULT IN ABANDONMENT.**

The time period set above may be extended by filing a petition and fee for extension of time under the provisions of 37 CFR 1.136(a).

Additionally the following defects have been observed:

- Additional claim fees of **\$306** as a non-small entity, including any required multiple dependent claim fee, are required. Applicant must submit the additional claim fees or cancel the additional claims for which fees are due.

#### SUMMARY OF FEES DUE:

Total additional fees required for this application is **\$436** for a Large Entity:

- **\$130** Late oath or declaration Surcharge.
- Total additional claim fee(s) for this application is **\$306**
  - **\$36** for 2 total claims over 20.
  - **\$270** for multiple dependant claims surcharge.

Applicant is reminded that any communications to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above (37 CFR 1.5)

WINSTON M ALVARADO

Telephone: (703) 305-6421

#### PART 1 - ATTORNEY/APPLICANT COPY

| U.S. APPLICATION NUMBER NO. | INTERNATIONAL APPLICATION NO. | ATTY. DOCKET NO. |
|-----------------------------|-------------------------------|------------------|
| 09/914,052                  | PCT/EP00/01852                | 2727-154         |